

PI3806USW

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)

PRIORITY DATE CLAIMED  
7 October 1999INTERNATIONAL APPLICATION NO.  
PCT/EP00/09722INTERNATIONAL FILING DATE  
5 October 2000TITLE OF INVENTION  
CHEMICAL COMPOUNDS

APPLICANT(S) FOR DO/EO/US

ALVARO, Giuseppe, DI FABIO, Romano, GIOVANNINI, Riccardo, GUERCIO, Giuseppe, ST-DENIS, Yves,  
URSINI, Antonella

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A<sup>o</sup> substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☐ Certificate of Mailing by Express Mail
23. ☐ Other items or information:


U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.53)	INTERNATIONAL APPLICATION NO. <b>PCT/EP00/09722</b>	ATTORNEY'S DOCKET NUMBER <b>PI3806USW</b>
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24. The following fees are submitted: <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5)) :</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1040.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$890.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$740.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$710.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>				<b>CALCULATIONS PTO USE ONLY</b>  <div style="border: 1px solid black; height: 100px; width: 100%;"></div>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<b>\$0.00</b>  <b>\$130.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	- 20 =	0	x \$18.00	\$0.00	
Independent claims	- 3 =	0	x \$84.00	\$0.00	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				\$0.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$130.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.				\$0.00	
<b>SUBTOTAL =</b>				<b>\$130.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				\$0.00	
<b>TOTAL NATIONAL FEE =</b>				<b>\$130.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				\$0.00	
<div style="display: flex; justify-content: space-between;"> <span>05/17/2002 HHL111 00000051 071392 10087764</span> <span><b>TOTAL FEES ENCLOSED =</b></span> </div>				<b>\$130.00</b>	
<div style="display: flex; justify-content: space-between;"> <span>01 F 154 130.00 CH</span> <div style="border: 1px solid black; padding: 5px; width: 150px;">           Amount to be: refunded \$            charged \$         </div> </div>					

- a. ☐ A check in the amount of \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 07-1392 in the amount of \$130.00 to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1392. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

  
**23347**  
 PATENT TRADEMARK OFFICE

  
 SIGNATURE  
**Bonnie L. Deppenbrock**  
 NAME  
**28,209**  
 REGISTRATION NUMBER  
7 May 2002  
 DATE

## DECLARATION FOR "371" APPLICATION

**COMBINED DECLARATION FOR UTILITY OR DESIGN PATENT  
APPLICATION WITH POWER OF ATTORNEY**ATTORNEY'S DOCKET  
PI3806USWFirst Names Inventor:  
**Giuseppe ALVARO**Complete if known:  
App No.:

Filing Date

Group Art Unit:

- ( ) Declaration submitted with initial filing or  
( ) Declaration submitted after initial filing (surcharge required 37CFR1.16(e))

As below named inventor. I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**CHEMICAL COMPOUNDS**

the specification of which (check only one item below):

[ ] is attached hereto.

OR

[ x ] was filed on 5 October 2000 as United States application Serial No. \_\_\_\_\_ or PCT InternationalApplication Number PCT/EP00/09722 filed and was amended on (MM/DD/YYYY) \_\_\_\_\_ (if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR §1.56.

I hereby claim foreign priority benefits under 35, U.S.C. §119 (a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or of any PCT international application having a filing date before that of the application on which priority is claimed:

**PRIOR FOREIGN AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:**

Prior Foreign Application Number (s)	Country	Foreign Filing Date (MM/DD/YYYY)	PRIORITY CLAIMED
1. 9923748.9	GB	10/07/1999	X
2.			
3.			
4.			
5.			

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date (MM/DD/YYYY)
1.	
2.	
3.	

## DECLARATION FOR "371" APPLICATION

COMBINED DECLARATION FOR UTILITY or DESIGN  
PATENT APPLICATION WITH POWER OF ATTORNEY

ATTORNEY'S DOCKET NUMBER

PI3806USW

Continued

I hereby claim the benefit under 35, U.S.C. §120 of any United States application or §365(c) of any PCT international application designating the United States of America that is listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first-paragraph of 35 U.S.C. §112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56 which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application:

## PRIOR U.S. PARENT APPLICATION or PCT PARENT APPLICATION

## STATUS (Check one)

U.S. Parent Application or PCT Parent  
NumberParent Filing Date  
(MM/DD/YYYY)

PATENTED

PENDING

ABANDONED

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the U.S. Patent and Trademark Office connected therewith. (List name and registration number)



Send Correspondence to:

23347

PATENT TRADEMARK OFFICE

Direct Telephone Calls to:

Bonnie L. DEPPENBROCK  
919-483-1577

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

1-002	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME/INITIAL
	INVENTOR'S SIGNATURE	ALVARO	Giuseppe	
0	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	Date: 03-04-2002
	POST OFFICE ADDRESS	Verona ITX	IT	COUNTRY OF CITIZENSHIP
1		GlaxoSmithKline	Research Triangle Park	IT
		Five Moore Drive, PO Box 13398	North Carolina 27709, US	STATE & ZIP CODE/COUNTRY
2-002	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME/INITIAL
	INVENTOR'S SIGNATURE	DI FABIO	Romano	
0	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	Date: 3.4.2002
	POST OFFICE ADDRESS	Verona ITX	IT	COUNTRY OF CITIZENSHIP
2		GlaxoSmithKline	Research Triangle Park	IT
		Five Moore Drive, PO Box 13398	North Carolina 27709, US	STATE & ZIP CODE/COUNTRY
3-002	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME/INITIAL
	INVENTOR'S SIGNATURE	GIOVANNINI	Riccardo	
0	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	Date: 9.4.2002
	POST OFFICE ADDRESS	Verona ITX	IT	COUNTRY OF CITIZENSHIP
3		GlaxoSmithKline	Research Triangle Park	IT
		Five Moore Drive, PO Box 13398	North Carolina 27709, US	STATE & ZIP CODE/COUNTRY
4-002	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME/INITIAL
	INVENTOR'S SIGNATURE	GUERCIO	Giuseppe	
0	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	Date: 03/04/02
	POST OFFICE ADDRESS	Verona ITX	IT	COUNTRY OF CITIZENSHIP
4		GlaxoSmithKline	Research Triangle Park	IT
		Five Moore Drive, PO Box 13398	North Carolina 27709, US	STATE & ZIP CODE/COUNTRY

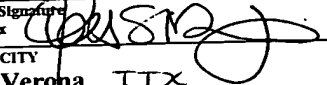
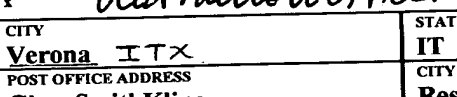
## DECLARATION FOR "371" APPLICATION

COMBINED DECLARATION FOR UTILITY or DESIGN  
PATENT APPLICATION WITH POWER OF ATTORNEY

ATTORNEY'S DOCKET NUMBER

PI3806USW

Continued

5-02	FULL NAME OF INVENTOR	FAMILY NAME <b>ST-DENIS</b>	FIRST GIVEN NAME <b>Yves</b>	SECOND GIVEN NAME/INITIAL
0	INVENTOR'S SIGNATURE	Signature x 		Date: <b>March April 3rd 2002</b>
	RESIDENCE & CITIZENSHIP	CITY <b>Verona ITX</b>	STATE OR FOREIGN COUNTRY <b>IT</b>	COUNTRY OF CITIZENSHIP <b>IT</b>
5	POST OFFICE ADDRESS	POST OFFICE ADDRESS <b>GlaxoSmithKline Five Moore Drive, PO Box 13398</b>	CITY <b>Research Triangle Park</b>	STATE & ZIP CODE/COUNTRY <b>North Carolina 27709, US</b>
6-02	FULL NAME OF INVENTOR	FAMILY NAME <b>URSINI</b>	FIRST GIVEN NAME <b>Antonella</b>	SECOND GIVEN NAME/INITIAL
0	INVENTOR'S SIGNATURE	Signature x 		Date: <b>3 April 2002</b>
	RESIDENCE & CITIZENSHIP	CITY <b>Verona ITX</b>	STATE OR FOREIGN COUNTRY <b>IT</b>	COUNTRY OF CITIZENSHIP <b>IT</b>
6	POST OFFICE ADDRESS	POST OFFICE ADDRESS <b>GlaxoSmithKline Five Moore Drive, PO Box 13398</b>	CITY <b>Research Triangle Park</b>	STATE & ZIP CODE/COUNTRY <b>North Carolina 27709, US</b>